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Robin D. Burger

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24024

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Durresi et al.

Examiner: Tu T Nguyen

Serial No.: 10/726,771

Group Art Unit: 2877

Filed: December 2, 2003

Confirmation No.: 4198

For: **METHOD AND
APPARATUS FOR
MONITORING THE
QUALITY OF OPTICAL
LINKS**

Attorney Docket No.: 18525.04069

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INFORMATION DISCLOSURE STATEMENT

I. Preliminary Statement

Applicants submit herewith patents, publications or other information to the U.S. Patent and Trademark Office (USPTO). The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. §1.97(g)), an admission that the information cited is, or is considered to be, material to patentability (37 C.F.R. §1.97(h)), or that no other material information exists. The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

II. Identification of Time of Filing the Accompanying Information Disclosure Statement

- ☐ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). As such it is believed that there is no fee due.
- ☒ The information disclosure statement submitted herewith is being filed before the mailing date of a first Office Action after the filing of a Request for Continued Examination (RCE) under 37 C.F.R. §1.114. As such it is believed that there is no fee due.
- ☐ The information disclosure statement submitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but *before* the mailing date of either a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first.
- ☐ The information disclosure statement transmitted herewith is being filed *after* a final action under §1.113, or a notice of allowance under §1.311, whichever occurs first, but before or simultaneously with, the payment of the issue fee.
- ☐ Each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and, furthermore, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.
- ☐ Applicant received [a/an] _____ mailed _____ in related _____ application _____. A copy of this report is enclosed for the USPTO's convenience.
- ☐ The present information disclosure statement is being filed thirty (30) days or fewer from a communication from a foreign patent office and Applicant submits the following statement under 37 C.F.R. § 1.704(d): each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty (30) days prior to the filing of the information disclosure statement.

III. Publishing Dates of References

- ☐ Applicant(s) do not know the precise publication date(s) of these following reference(s): _____. However, Applicant(s) request that the Examiner consider this/these reference(s) in examining the present patent application. If the Examiner feels that one or more of the reference(s) bear against the patentability of the claim(s), Applicant(s) will then attempt to resolve the prior art status and applicability of the reference(s).

Information Disclosure Statement
Serial No. 10/726,771

- ☐ Applicant(s) hereby submit(s) the following PROPRIETARY MATERIAL(S) in accordance with MPEP § 724.02: _____. This/these reference(s) is/are provided in a sealed envelope or container and clearly labeled as PROPRIETARY MATERIAL NOT OPEN TO PUBLIC. Applicant(s) request(s) that the USPTO, including the Examiner and other authorized USPTO employees, treat and handle this/these reference(s) in accordance with MPEP § 724.04.

IV. Non-English References

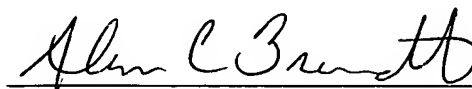
- ☐ In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses herewith a copy of a communication from a foreign patent office in a counterpart application citing such documents, together with an English-language version (if not already included) of that portion of the communication indicating the degree of relevance found by the foreign patent office.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material: _____.
- ☐ No English translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.
- ☐ Concise Explanation of Non-English Language Listed Information Items. (Attached)

V. Fee

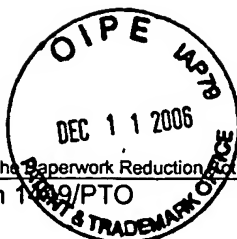
- ☒ It is believed that NO FEE is due with this Information Disclosure Statement.
- ☐ Petition fee due (§1.17(p)): \$180.00
- ☐ Attached is a check in the amount of \$180.00.
- ☐ Authorization is hereby made to charge the amount of \$_____ to Deposit Account No. 03-0172.
- ☒ Charge any additional fees required by this paper or credit any overpayment to Deposit Account No. 03-0172. A duplicate of this paper is attached.

Respectfully submitted,

Date: 5 December 2006



Alan C. Brandt, Reg. No. 50,218
(216) 622-8658
(216) 241-0816 facsimile



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Substitute for form 1009/PTO				Complete if known	
				Application Number	10/726,771
INFORMATION DISCLOSURE STATEMENT BY APPLICATION				Filing Date	December 2, 2003
				First Named Inventor	Durresi et al.
				Art Unit	2877
				Examiner's Name	Tu T Nguyen
(Use as many sheets as necessary)				Attorney Docket Number	18525.04069
Sheet	1	of	7		

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A	3428391	2/69	Newcomer	
	B	3755676	8/73	Kinsel	
	C	3892468	7/75	Duguay	
	D	4225938	9/80	Turpin	
	E	4344671	8/82	Lang	
	F	4474434	10/84	Carlsen et al.	
	G	4474435	10/84	Carlsen et al.	
	H	4546249	10/85	Whitehouse et al.	
	I	4929956	5/90	Lee et al.	
	J	5018816	5/91	Murray et al.	
	K	5117239	5/92	Riza	
	L	5276758	1/94	Hughes	
	M	5319477	6/94	DeJule	
	N	5418880	5/95	Lewis et al.	
	O	5463497	10/95	Muraki et al.	
	P	5465175	11/95	Woodgate et al.	
	Q	5512907	4/96	Riza	
	R	5592333	1/97	Lewis	
	S	5623360	4/97	Gesell et al.	
	T	5724163	3/98	David	
	U	5726752	3/98	Uno et al.	

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This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICATION (Use as many sheets as necessary)				Complete if known	
				Application Number	10/726,771
				Filing Date	December 2, 2003
				First Named Inventor	Durresi et al.
				Art Unit	2877
Examiner's Name	Tu T Nguyen				
Sheet	2	of	7	Attorney Docket Number	18525.04069

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	V	Not used			
	W	5852693	12/98	Jeong	
	X	5859697	1/99	Kaufeld et al.	
	Y	5936759	8/99	Buttner	
	Z	5973727	10/99	McGrew et al.	
	AA	6014244	1/2000	Chang	
	AB	6040880	3/2000	Tsuboi	
	AC	6064506	5/2000	Koops	
	AD	6181367	1/2001	McGrew et al.	
	AE	6188817	2/2001	Goodfellow	
	AF	6236506	5/2001	Cao	
	AG	6266176	7/2001	Anderson et al.	
	AH	Not used			
	AI	6388815	5/2002	Collins, Jr. et al.	
	AJ	6480323	11/2002	Messner et al.	
	AK	6522404	2/2003	Mikes et al.	
	AL	6525889	2/2003	Collins, Jr. et al.	
	AM	6535340	3/2003	Saruwatari	
	AN	6647164	11/2003	Weaver, et al.	
	AO	6674939	1/2004	Anderson et al.	
	AP	6711316	3/2004	Ducellier	

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICATION

(Use as many sheets as necessary)

Sheet	3	of	7
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Complete if known

Application Number	10/726,771
Filing Date	December 2, 2003
First Named Inventor	Durresi et al.
Art Unit	2877
Examiner's Name	Tu T Nguyen
Attorney Docket Number	18525.04069

[illegible]

{RDB0801.DOC;1}Examiner
Signature

Date
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				Filing Date	December 2, 2003
				First Named Inventor	Durresi et al.
				Art Unit	2877
				Examiner's Name	Tu T Nguyen
Sheet	4	of	7	Attorney Docket Number	18525.04069

U.S. PATENT APPLICATION DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	AY	2002/0030814	3/2002	Mikes et al.	
	AZ	2003/0202731	10/2003	Ionov et al.	
	BA	2004/0190823	9/2004	Leuthold et al.	
	BB	2005/0007668	1/2005	Serati et al.	
	BC	Not used			
	BD	Not used			
	BE	Not used			
	BF	Not used			
	BG	Not used			
	BH	Not used			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶

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Examiner's Name	Tu T Nguyen				
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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, pages(s), volume-issue number(s), publisher, city and/or country where published	T ²
	BI	Anderson, et al., Increasing Efficiency of Optical Beam Steerers, Draft Technical Report #3 for Harris Corporation, The Ohio State University, May 30, 2003, pp. 1-11	
	BJ	Anderson et al., Binary-Counting True Time Delay Generator Using a White Cell Design and Deformable Mirror Devices, LEOS, Orlando, FL, December 1998, 2 pgs.	
	BK	Anderson et al., Design Advances in Free-Space Optical True-Time Delay Device, PSAA-8, Monterey, CA, January 1998, 3 pgs.	
	BL	Anderson et al., Highly Parallel Optical Device to Produce True Time Delays for Phased Array Antennas, Allerton, September 1998, 14 pgs.	
	BM	Anderson et al., Optically Produced True-Time Delays for Phased Antenna Arrays, Applied Optics, vol. 36, no. 32, November 20, 1997, pp. 8493-8503	
	BN	Anderson et al., Optical Cross-Connect Based on Tip/Tilt Micromirrors in a White Cell, IEEE Journal of Selected Topics in Quantum Electronics, vol. 9, no. 2, March/April 2003, pp. 579-593	
	BO	Anderson, et al. Optical Interconnection Device Based on the White Cell, presentation at Notre Dame University November 6, 2002, 46 pgs.	
	BP	Anderson, Optical Interconnections, Optical True-Time Delays, and More.., presentation at University of Colorado January 28, 2003, 61 pgs.	
	BQ	Not used	
	BR	Anderson, et al., Polynomial-based optical true-time delay devices with microelectromechanical mirror arrays, Applied Optics, vol. 41, no. 26, September 10, 2002, pp. 5449-5461	
	BS	Not used	
	BT	Not used	

{RDB0801.DOC;1}Examiner Signature	Date Considered
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				Filing Date	December 2, 2003
				First Named Inventor	Durresi et al.
				Art Unit	2877
				Examiner's Name	Tu T Nguyen
Sheet	6	of	7	Attorney Docket Number	18525.04069

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, pages(s), volume-issue number(s), publisher, city and/or country where published	T ²
	BU	Argueta-Diaz, et al. Reconfigurable Photonic Switch Based on a Binary System Using the White Cell and Micromirror Arrays, IEEE Journal of Selected Topics in Quantum Electronics, vol. 9, no. 2, March/April 2003, pp. 594-602	
	BV	Chen et al., 1-to-12 Surface Normal Three-Dimensional Optical Interconnects, Applied Physics Letters 63(14), October 4, 1993, pp. 1883-1885	
	BW	Cohen et al., Optically Controlled Serially Fed Phased Array Sensor, IEEE Photonics Technology Letters, vol. 8, no. 12, December 1996, pp. 1683-1685	
	BX	Collins et al., Numerical Optical Data Processing, Proceedings of the 1978 International Optical Computing Conference, London, England, September 1978, pp. 194-197	
	BY	Collins et al., Optics for Numerical Calculations, Proceedings of ICO-11 Conference, Madrid, Spain, 1978, pp. 311-314	
	BZ	Collins, Jr. et al., Optical True Time Delay for Phased Array Antennas Based on the White Cell, GOMAC, Monterey, CA, March 1999, 4 pgs	
	CA	Collins, Numerical Optical Data Processor, SPIE, vol. 128, Effective Utilization of Optics in Radar Systems, 1977, pp. 313-319	
	CB	Ewing et al., Advancements in LCoS Optical Phased Array Technology, SPIE Great Lakes Regional Symposium, Cleveland, OH, June 7, 2004, pp. 1-23	
	CC	Fairley et al., The Microphotonics Revolution, Mit's Magazine of Innovation, Technology Review, July/August 2000, pp. 38-44	
	CD	Freitag et al., A Coherent Optically Controlled Phased Array Antenna System, IEEE Microwave and Guided Wave Letters, vol. 3, no. 9, September 1993, pp. 293-295	
	CE	Goutzoulis et al., Hybrid Electronic Fiber Optic Wavelength-Multiplexed System for True Time-Delay Steering of Phased Array Antennas, Optical Engineering, vol. 31, no. 11, November 1992, pp. 2312-2322	

{RDB0801.DOC;1}Examiner Signature	Date Considered
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Sheet	7	of	7	Attorney Docket Number	18525.04069

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, pages(s), volume-issue number(s), publisher, city and/or country where published	T ²
	CF	Higgins et al., Design and demonstration of a switching engine for a binary true-time-delay device that uses a White cell, Applied Optics, vol. 42, no. 23, August 10, 2003, pp. 4747-4757	
	CG	Not used	
	CH	Li et al., Angular Limitations of Polymer-Based Waveguide Holograms for 1-to-many V-shaped Surface-Normal Optical Interconnects, Applied Physics Letters 65(9), August 29, 1994, pp. 1070-1072	
	CI	Liu et al., Cascaded Energy-Optimized Linear Volume Hologram Array for 1-to-many Surface-Normal Even Fan-Outs, Optics and Laser Technology, vol. 29, no. 6, 1997, pp. 321-325	
	CJ	Not used	
	CK	Rader, et al., Demonstration of a Linear Optical True-time Delay Device by Use of a Microelectromechanical Mirror Array, Applied Optics, vol. 42, no. 8, March 10, 2003, pp. 1409-1416	
	CL	Saleh et al., Fundamentals of Photonics, Wiley, August 1991	
	CM	White, Long Optical Paths of Large Aperture, Journal Optical Society America, vol. 32, May 1942, pp. 285-288	
	CN	White, Very Long Optical Paths in Air, Journal Optical Society America, vol. 66, no. 5, May 1976, pp. 411-416,	
	CO	Yen et al., Operation of a Numerical Optical Data Processor, 1980, SPIE vol. 232, International Optical Computing Conference, 1980, pp. 160-167	

{RDB0801.DOC;1}Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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